

FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
DM	AL2	WO 95/12660	05/11/1995	PCT WIPO			Yes No
	AM2						Yes No
	AN2						Yes No
	AO2						Yes No
	AP2						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

DM	AR	2	Chellappan, S. et al., "Adenovirus E14, simian virus 40 tumor antigen, and human papillomavirus E7 protein share the capacity to disrupt the interaction between transcription factor E2F and the retinoblastoma gene product," Proc. Natl. Acad. Sci. USA 89:4549-4553 (1992).
	AS	2	Chen, S.-H. et al., "Gene therapy for brain tumors: Regression of experimental gliomas by adenovirus-mediated gene transfer <i>in vivo</i> ," Proc. Natl. Acad. Sci. USA 91:3054-3057 (April 1994).
	AT	2	Coghlan, A., "Gene dream fades away," New Scientist 145:14-15 (November 1995).

EXAMINER

*DW*

DATE CONSIDERED

4/7/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 3 of 20

FORM PTO-1449  INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117	
		APPLICANTS Hallenbeck et al.			
		FILING DATE May 28, 1997		GROUP To be assigned 1633	

#### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

#### FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL3						Yes No
	AM3						Yes No
	AN3						Yes No
	A03						Yes No
	AP3						Yes No

#### OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>DR</i>	AR	3	Cornelis, J.J. et al., "Transformation of Human Fibroblasts by Ionizing Radiation, a Chemical Carcinogen, or Simian Virus 40 Correlates with an Increase in Susceptibility to the Autonomous Parvoviruses H-1 Virus and Minute Virus of Mice," <i>J. Virol.</i> 62(5):1679-1686 (1988).
	AS	3	Crystal, R.G., "Transfer of Genes to Humans: Early Lessons and Obstacles to Success," <i>Science</i> 270:404-410 (October 1995).
	AT	3	Culver, K.W. et al., "In Vivo Gene Transfer with Retroviral Vector-Producer Cells for Treatment of Experimental Brain Tumors," <i>Science</i> 256:1550-1552 (1992).

EXAMINER *Darker* DATE CONSIDERED *9/7/98*

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Attach to # 5

Page 1 of 20

FORM PTO-1449  <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117	
		APPLICANTS Hallenbeck et al.			
		FILING DATE May 28, 1997		GROUP To be assigned 1633	

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
DM	AA1	5,416,017	05/16/1995	Burton et al.	435	240-2 325	03/25/1993
U	AB1	5,436,146	07/25/1995	Shenk et al.	435	472-3 455	01/21/1993
AC							
AD							
AE							
AF							
AG							
AH							
AI							
AJ							
AK							

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1	WO 90/05180	05/17/1990	PCT WIPO			Yes No
	AM1	EP 0 415 731 A3	03/06/1991	Europe			Yes No
	AN1	WO 93/09239	05/13/1993	PCT WIPO			Yes No
	AO1	WO 94/18992	09/01/1994	PCT WIPO			Yes No
	AP1	WO 95/11984	05/04/1995	PCT WIPO			Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

DM	AR	1	Babiss, L.E. et al., "Cellular Promoters Incorporated into the Adenovirus Genome: Effect of Viral DNA Replication on Endogenous and Exogenous Gene Transcription," J. Mol. Biol. 193:643-650 (1987).
	AS	1	Blaese, R.M. et al., "In situ Delivery of Suicide Genes for Cancer Treatment," Eur. J. Cancer 30A(8):1190-1193 (August 1994).
	AT	1	Brown, D., "Gene Therapy 'Oversold' by Researchers, Journalists," The Washington Post, p. A22, December 8, 1995.

EXAMINER

Damon

DATE CONSIDERED

4/7/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 4 of 20

FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA							
AB							
AC							
AD							
AE							
AF							
AG							
AH							
AI							
AJ							
AK							

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

DTW	AR	4	Dillon, N., "Regulating gene expression in gene therapy," <i>TIBTECH</i> 11:167-173 (May 1993).
	AS	4	Dooley, T.P. et al., "Transactivation of the adenovirus E1A promoter in the absence of adenovirus E1A protein is restricted to mouse oocytes and preimplantation embryos," <i>Development</i> 107:945-956 (1989).
	AT	4	Dynan, W.S., "Modularity in Promoters and Enhancers," <i>Cell</i> 58:1-4 (1989).
EXAMINER	Danner 4/17/98		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117	
		APPLICANTS Hallenbeck et al.			
		FILING DATE May 28, 1997		GROUP To be assigned 1633	

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

DR	AR	5	Fattaey, A. et al., "Replication of Adenovirus Mutants in Human Cancer Cells," Abstracts of papers presented at the 1994 meeting on Molecular Biology of Papovaviruses and Adenoviruses, August 17-August 21, 1994, Cold Spring Laboratory, Cold Spring Harbor, New York.
	AS	5	Friedman, J.M. et al., "Cellular Promoters Incorporated into the Adenovirus Genome: Cell Specificity of Albumin and Immunoglobulin Expression," Molec. Cell. Biol. 6(11):3791-3797 (1986).
	AT	5	Fujiwara, T. et al., "A Retroviral Wild-type p53 Expression Vector Penetrates Human Lung Cancer Spheroids and Inhibits Growth by Inducing Apoptosis," Canc. Res. 53:4129-4133 (September 1993).

EXAMINER

DATE CONSIDERED

4/7/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 6 of 20

FORM PTO-1449  INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

On	AR	6	Gerard, R.D. and Meidell, R.S., "Adenovirus-Mediated Gene Transfer," TCM 3(5):171-177 (May 1993).
	AS	6	Gordon, E.M. and Anderson, W.F., "Gene therapy using retroviral vectors," Curr. Op. Biotechnol. 5:611-616 (December 1994).
	AT	6	Graham, F.L., "Growth of 293 Cells in Suspension Culture," J. Gen. Virol. 68:937-940 (1987).

EXAMINER

D.W.

DATE CONSIDERED

4/17/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>DR</i>	AR	Z	Günzburg, W.H. and Salmons, B., "Mouse Mammary Tumor Virus Mediated Transfer and Expression of Neomycin Resistance to Infected Cultured Cells," <i>Virology</i> 155:236-248 (1986).
<i>J</i>	AS	Z	Günzburg, W.H. and Salmons, B., "Virus vector design in gene therapy," <i>Molec. Med. Today</i> 1(9):410-417 (December 1995).
<i>DR</i>	AT	Z	Harris, J.D. et al., "Gene therapy for cancer using tumour-specific prodrug activation," <i>Gene Therapy</i> 1:170-175 (May 1994).

EXAMINER

*DR*

DATE CONSIDERED

*4/7/98*

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>Du</i>	AR	8	Hitt, M.M. and Graham, F.L., Adenovirus E1A under the Control of Heterologous Promoters: Wide Variation in E1A Expression Levels Has Little Effect on Virus Replication," <i>Virology</i> 179:667-678 (1990).
<i>J</i>	AS	8	Horvath, J. et al., "Complementation of Adenovirus Early Region 1a and 2a Mutants by Epstein-Barr Virus Immortalized Lymphoblastoid Cell Lines," <i>Virology</i> 184:141-148 (1991).
<i>DU</i>	AT	8	Horwitz, M.S., "Adenoviral Diseases," in <i>Virology</i> , Fields, B.N. et al., eds., Raven Press, New York, pp. 477-495 (1985).

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. <b>1136.0020002</b>		APPLICATION NO. <b>08/849,117</b>
		APPLICANTS <b>Hallenbeck et al.</b>		GROUP <b>To be assigned</b>
		FILING DATE <b>May 28, 1997</b>	<b>1633</b>	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>Dm</i>	AR	2	Huber, B.E. et al., "Retroviral-mediated gene therapy for the treatment of hepatocellular carcinoma: An innovative approach for cancer therapy," Proc. Natl. Acad. Sci. USA 88:8039-8043 (1991).
	AS	2	Imperiale, M.J. et al., "Common control of the Heat Shock Gene and Early Adenovirus Genes: Evidence for a Cellular E1A-Like Activity," Molec. Cell. Biol. 4(5):867-874 (1984).
	AT	2	Kaneko, S. et al., "Adenovirus-mediated Gene Therapy of Hepatocellular Carcinoma Using Cancer-specific Gene Expression," Canc. Res. 55:5283-5287 (November 1995).
EXAMINER	<i>D</i>		

4/7/97

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 10 of 20

FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

#### U. S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA							
AB							
AC							
AD							
AE							
AF							
AG							
AH							
AI							
AJ							
AK							

#### FOREIGN PATENT DOCUMENTS

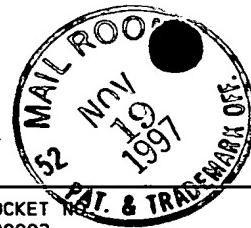
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AL							Yes No
AM							Yes No
AN							Yes No
AO							Yes No
AP							Yes No

#### OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>DW</i>	AR	10	La Thangue, N.B. and Rigby P.W.J., "An Adenovirus E1A-Like Transcription Factor Is Regulated during the Differentiation of Murine Embryonal Carcinoma Stem Cells," <i>Cell</i> 49:507-513 (1987).
<i>J</i>	AS	10	Ledley, F., "Nonviral Gene Therapy: The Promise of Genes as Pharmaceutical Products," <i>Hum. Gene Ther.</i> 6:1129-1144 (September 1995).
<i>V</i>	AT	10	Lewin, B., "Oncogenic Conversion by Regulatory Changes in Transcription Factors," <i>Cell</i> 64:303-312 (1991).

EXAMINER *DW* *F* 4/2/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA							
AB							
AC							
AD							
AE							
AF							
AG							
AH							
AI							
AJ							
AK							

**FOREIGN PATENT DOCUMENTS**

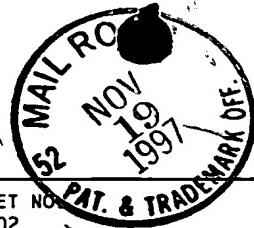
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AL							Yes No
AM							Yes No
AN							Yes No
AO							Yes No
AP							Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

<i>M</i>	AR	11	Manome, Y. et al., "Enhancer Sequences of the DF3 Gene Regulate Expression of the Herpes Simplex Virus Thymidine Kinase Gene and Confer Sensitivity of Human Breast Cancer Cells to Ganciclovir," <i>Canc. Res.</i> 54:5408-5413 (October 1994).
<i>C</i>	AS	11	Mastrangelo, M.J. et al., "Gene Therapy for Human Cancer: An Essay for Clinicians," <i>Seminars in Oncology</i> 23(1):4-21 (February 1996).
<i>V</i>	AT	11	Missero, C. et al., "Skin-specific Expression of a Truncated E1a Oncoprotein Binding to p105-Rb Leads to Abnormal Hair Follicle Maturation Without Increased Epidermal Proliferation," <i>J. Cell Biol.</i> 121:1109-1120 (June 1993).

EXAMINER *D**4/7/98*

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449  <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.		
		FILING DATE May 28, 1997	GROUP To-be-assigned 1633	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

DR	AR	12	Moran, E., "Interaction of adenoviral proteins with pRB and p53," FASEB J. 7:880-885 (July 1993).
	AS	12	Mulligan, R.C., "The Basic Science of Gene Therapy," Science 260:926-931 (May 1993).
	AT	12	Nakamura, Y. et al., "Adoptive Immunotherapy with Murine Tumor-specific T Lymphocytes Engineered to Secrete Interleukin 2," Canc. Res. 54:5757-5760 (November 1994).

EXAMINER Dahr

4/17/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117	
		APPLICANTS Hallenbeck et al.			
		FILING DATE May 28, 1997	GROUP To be assigned 1633		

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA							
AB							
AC							
AD							
AE							
AF							
AG							
AH							
AI							
AJ							
AK							

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AL							Yes No
AM							Yes No
AN							Yes No
AO							Yes No
AP							Yes No

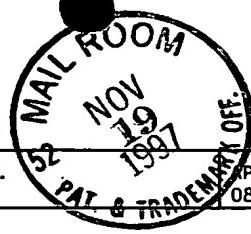
**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

Dy	AR	13	Ohno, T. et al., "Gene Therapy for Vascular Smooth Muscle Cell Proliferation After Arterial Injury," <i>Science</i> 265:781-784 (August 1994).
	AS	13	Ookawa, K. et al., "Reconstitution of the RB gene suppresses the growth of small-cell lung carcinoma cells carrying multiple genetic alterations," <i>Oncogene</i> 8(8):2175-2181 (August 1993).
	AT	13	Orkin, S.H. and Motulsky, A.G., "Report and Recommendations of the Panel to Assess the NIH Investment in Research on Gene Therapy," Published by NIH at Bethesda, MD, December 7, 1995.

EXAMINER *Darne*

4/7/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117	
		APPLICANTS Hallenbeck et al.			
		FILING DATE May 28, 1997		GROUP To be assigned 1633	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>DR</i>	AR	14	Osaki, T. et al., "Gene Therapy for Carcinoembryonic Antigen-producing Human Lung Cancer Cells by Cell Type-specific Expression of Herpes Simplex Virus Thymidine Kinase Gene," <i>Canc. Res.</i> 54:5258-5261 (October 1994).
<i>✓</i>	AS	14	Pennisi, E., "Will a Twist of Viral Fate Lead To a New Cancer Treatment?" <i>Science</i> 274:342-343 (October 1996).
<i>✓</i>	AT	14	Pulsieux, A. et al., "p53 as a growth suppressor gene in HBV-related hepatocellular carcinoma cells," <i>Oncogene</i> 8:487-490 (February 1993).
EXAMINER <i>Dash</i>			4/7/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117	
		APPLICANTS Hallenbeck et al.			
		FILING DATE May 28, 1997		GROUP To be assigned 1633	

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

<i>DN</i>	AR	15	Ringold, G.M. et al., "Glucocorticoid-stimulated accumulation of mouse mammary tumor virus RNA: Increased rate of synthesis of viral RNA," Proc. Natl. Acad. Sci. USA 74(7):2879-2883 (1977).
<i>J</i>	AS	15	Russell, S.J. et al., "Transformation-Dependent Expression of Interleukin Genes Delivered by a Recombinant Parvovirus," J. Virol. 66(5):2821-2828 (1992).
<i>J</i>	AT	15	Russell, S.J., "Replicating Vectors for Gene Therapy of Cancer: Risks, Limitations and Prospects," Eur. J. Canc. 30A:1165-1171 (August 1994).

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

*Darlene* 617198



FORM PTO-1449 <b>INFORMATION DISCLOSURE STATEMENT</b>		ATTY. DOCKET NO. 1136.0020002		APPLICATION NO. 08/849,117	
		APPLICANTS Hallenbeck et al.			
		FILING DATE May 28, 1997	GROUP To be assigned 1633		

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>D</i>	AR	16	Salmons, B. and Günzburg, W.H., "Targeting of Retroviral Vectors for Gene Therapy," <i>Human Gene Therapy</i> 4:129-141 (April 1993).
<i>V</i>	AS	16	Schrewe, H. et al., "Cloning of the Complete Gene for Carcinoembryonic Antigen: Analysis of Its Promoter Indicates a Region Conveying Cell Type-Specific Expression," <i>Molec. Cell. Biol.</i> 10(6):2738-2748 (1990).
<i>V</i>	AT	16	Shenk, T. et al., "Functional Analysis of Adenovirus-5 Host-range Deletion Mutants Defective for Transformation of Rat Embryo Cells," <i>Cold Spring Harbor Symp. Quant. Biol.</i> 44:367-375 (1979).

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 17 of 20

FORM PTO-1449  INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
AA							
AB							
AC							
AD							
AE							
AF							
AG							
AH							
AI							
AJ							
AK							

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
AL							Yes No
AM							Yes No
AN							Yes No
AO							Yes No
AP							Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

DR	AR	17	Shimizu, E. et al., "RB protein status and clinical correlation from 171 cell lines representing lung cancer, extrapulmonary small cell carcinoma, and mesothelioma," <i>Oncogene</i> 9:2441-2448 (September 1994).
	AS	17	Shingu, M. et al., "Therapeutic effects of bovine enterovirus infection on rabbits with experimentally induced adult T cell leukaemia," <i>J. Gen. Virol.</i> 72:2031-2034 (1991).
U	AT	17	Sikora, K., "Genetic approaches to cancer therapy," <i>Gene Therapy</i> 1:149-151 (January 1994).

EXAMINER DR

4/7/98

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 18 of 20

FORM PTO-1449  INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>DR</i>	AR	18	Spergel, J.M. and Chen-Kiang, S., "Interleukin 6 enhances a cellular activity that functionally substitutes for E1A protein in transactivation," Proc. Natl. Acad. Sci. USA 88:6472-6476 (1991).
	AS	18	Spergel, J.M. et al., "NF-IL6, a Member of the C/EBP Family, Regulates E1A-Responsive Promoters in the Absence of E1A," J. Virol. 66(2):1021-1030 (1992).
<i>V</i>	AT	18	Stratford-Perricaudet, L. and Perricaudet, M., "Gene transfer into animals: the promise of adenovirus," Human Gene Transfer 219:51-61 (1991).
EXAMINER	<i>Dan</i>		

417198

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 19 of 20

FORM PTO-1449  INFORMATION DISCLOSURE STATEMENT		ATTY. DOCKET NO. <i>PADEMARMK 001</i> 1136.0020002	APPLICATION NO. 08/849,117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned <i>1633</i>

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>Dm</i>	AR	19	Vile, R.G. and Hart, I.R., "Use of Tissue-specific Expression of the Herpes Simplex Virus Thymidine Kinase Gene to Inhibit Growth of Established Murine Melanomas following Direct Intratumoral Injection of DNA," <i>Canc. Res.</i> 53:3860-3864 (September 1993).
	AS	19	Vile, R.G. and Hart, I.R., "In Vitro and in Vivo Targeting of Gene Expression to Melanoma Cells," <i>Canc. Res.</i> 53:962-967 (March 1993).
	AT	19	Vile, R., "Gene Therapy and Cytokines," <i>British Journal of Cancer</i> 69(Supp. 21):3 Abstract S7 (March 1994).

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



Page 20 of 20

FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>		ATTY. DOCKET NO. 1136.0020002	APPLICATION NO. 10839, 117
		APPLICANTS Hallenbeck et al.	
		FILING DATE May 28, 1997	GROUP To be assigned 1633

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

<i>Dm</i>	AR	20	Vile, R., "Direct Gene Transfer to Tumour Cells In Vivo," <i>Gene Therapy</i> 1(Supp. 2):S6 Abstract A23 (November 1994).
<i>J</i>	AS	20	Yang, Y. et al., "MHC Class I-Restricted Cytotoxic T Lymphocytes to Viral Antigens Destroy Hepatocytes in Mice Infected with E1-Deleted Recombinant Adenoviruses," <i>Immunity</i> 1:433-442 (August 1994).
<i>M</i>	AT	20	
EXAMINER	<i>Dm</i> 4/7/98		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.